

OTHER THAN PUBLIC BODY

Direct Loan and/or Grant

Applicant

Applicant Contact

(Phone & FAX)

Engineer

Attorney

(Phone & FAX)

(Phone & FAX)

ITEM		PREPARED BY	DATE RECEIVED
III PROCEED WITH FULL APPLICATION			
1	Copy of Notice of Intent to File an Application as published in the newspaper	Applicant	
2	RD Instruction 1900-D Documentation	Applicant	
3	Exhibit A-1 of RD Instruction 1940-Q, Restrictions on Lobbying	Applicant	
4	ND RUS Bulletin 1780-6, Resolution Authorizing Execution of Loan and/or Grant Documents	Applicant & Attorney	
5	EJCDC E-510, Standard Form of Agreement Between Owner and Engineer for Professional Services (Funding Agency Edition 2002), including Exhibits A through J	Applicant Engineer & USDA	
6	Attorney Legal Services Agreement	App & Atty	
7	Bank of North Dakota/Other Participating Credit Application (if applicable)	Applicant & USDA	
8	Letter of Concurrence from County Commissioners or Tribal Planning Office	App & Atty	
9	Notice of Public Information Meeting	App & Atty	
10	Minutes of Public Information Meeting	Applicant	
11	List of Attendance at Public Information Meeting	Applicant	
12	RD ND 1940-27, Representations for Loan and Authorization to File a Financing Statement and Related Documents	Applicant	
13	RD 1910-11, Applicant Certification Federal Collection Policies for Consumer or Commercial Debts	Applicant	
14	AD-1047, Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions	Applicant	

ITEM	PREPARED BY	DATE RECEIVED
15 Deliver AD-1048, Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transactions	Applicant	
16 AD-1049, Certification Regarding Drug-Free Workplace Requirements (Grants) Alternative I for Grantees Other than Individuals	Applicant	
17 Bank of North Dakota/Other Participating Credit Commitment (if applicable)	Lender	
18 Letter of Conditions	USDA	
19 RD 1942-46, Letter of Intent to Meet Conditions	Applicant	
20 RD 1940-1, Request for Obligation of Funds	App & USDA	
21 SF 3881, Electronic Funds Transfer Payment Enrollment Form	Applicant & USDA	
22 RD 2006-38, Civil Rights Impact Analysis	USDA	
23 Water and/or Sewer Use Agreement or Mandatory Use Ordinance (Specimen)	Applicant	
24 Certified List of Membership/Users	Applicant	
25 Membership or Users Certificate (Specimen Copy)	Applicant	
26 Arrange for Interim Financing (if applicable)	App & Atty	
27 RD 1942-8, Resolution of Members or Stockholders	App & Atty	
28 RUS Bulletin 1780-28, Loan Resolution Security Agreement	App & Atty	
29 RD 400-4, Assurance Agreement	Applicant	
30 RD 400-1, Equal Opportunity Agreement	Applicant	
31 Preliminary Opinion:		
a RD 1927-9, Preliminary Title Opinion	Attorney	
b Further opinion by attorney stating:		
1 All actions by the applicant meet statutory requirements		
2 No litigation threatening the applicant		
3 Project meets the zoning laws	Attorney	
c RD 442-20, Right-of-Way Easement	App & Atty	
d RD 440-34, Option to Purchase Real Property, or Deed	Applicant & Attorney	
e RD 442-21, Right of-Way-Certificate, with Right-of-Way Map	App, Atty Engineer	
f RD 442-22, Opinion of Counsel Relative to Right-of-Way	Attorney	
32 Water Purchase Contract	App & Atty	

ITEM	PREPARED BY	DATE RECEIVED
33 Resolution Establishing Rate Charge and Rules for the Use and Service of Facility	App & Atty	
34 Appraisal (if applicable)	Appraiser	
35 Evidence of Good Standing	Applicant	
36 Evidence of Income Tax Exemption	Applicant	
37 Prior Real Estate Mortgages	Applicant	
38 GECC Approval of Applicant Incurring Debt	App & Atty	
39 Submit to OGC for Closing Instructions	USDA	
IV ENGINEER		
1 Plans and Specifications	Engineer	
2 Bid Docket (ND RUS Bulletin 1780-5)	Engineer	
3 Evidence of Approval of Plans and Specifications by Appropriate Agency	USDA &/or NDSHD	
4 RD 1924-16, Record of Pre-Construction Conference	Engineer	
a Deliver RD 400-3, Notice to Contractors and Applicants	Engineer	
5 Concurrence in Resident Inspector	Eng & USDA	
V PRE-CLOSING REVIEW		
1 Verification of Other Committed Funds	Applicant	
2 Verify Number of Users	USDA	
3 Closing Instructions have been received from the Office of the General and provided Borrower, Borrower's Legal Counsel and Engineer	USDA	
4 Complete all requirements of Other Lender, Office of General Counsel and USDA	App, Atty, & USDA	
5 Insurance		
a Comprehensive General Liability Insurance	Applicant	
b Real Property Insurance with RD 426-2, Property Insurance Mortgage Clause	Applicant	
c Workers Compensation	Applicant	
d Fidelity Bond Application	Applicant	
e Malpractice/Directors & Officers Insurance	Applicant	
6 Water Permits	Applicant	
7 Review of Non-procurement List (RD Instruction 1940-M) http://epls.arnet.gov/	USDA	
8 RD 400-8, Compliance Review	USDA	
VI LOAN CLOSING		
1 RD 1927-1 ND, Real Estate Mortgage	Applicant	
2 RD 440-22, Promissory Note	USDA	
3 Assignments	Applicant	

ITEM	PREPARED BY	DATE RECEIVED
4 UCC-1/CNS-1, Uniform Commercial Code Financing Statement	USDA	
5 Bank of North Dakota/Other Participating Credit Promissory Note (if applicable)	Applicant	
6 Bank of North Dakota/Other Participating Credit Real Estate Mortgage (if applicable)	Applicant	
7 Bank of North Dakota/Other Participating Credit Financing Statement/Security Agreement (if applicable)	Applicant	
8 RUS Bulletin 1780-12, Water or Waste System Grant Agreement	Applicant & USDA	
VII AFTER LOAN CLOSING		
1 RD 1927-10, Final Title Opinion	Attorney	
2 Recorded Real Estate Mortgage	Attorney	
3 Filed Financing Statement	Attorney	
4 Submit for Post Closing Review by OGC	USDA	
5 Receipt of OGC Final Review	OGC	
6 RD 3550-28, Authorization Agreement for Preauthorized Payments	App/Bank USDA	

Attachment A will be used for projects jointly funded with the Bank of North Dakota.

FOR RURAL DEVELOPMENT USE ONLY

ITEM	DATE RECEIVED
VIII LOAN AND/OR GRANT CLOSING LIST	
1 SF 3881, ACH Vendor/Miscellaneous Payment Enrollment Form – check to be sure account has been set up for EFT for the first advance of funds	
2 Closing Instructions have been received from the Office of the General and provided Borrower, Borrower's Legal Counsel and Engineer	
3 Review OGC Closing Instructions to ensure all stated requirements have been met	
4 Get figure to pay off the Interim Financing, if applicable	
5 RD 440-11, Estimate of Funds Needed for 30-Day Period Commencing	
6 Request first advance of funds 2 working days prior to scheduled loan	

FOR RURAL DEVELOPMENT USE ONLY

ITEM	DATE RECEIVED
7 Review Non-procurement List for Borrower, Engineer, Legal Counsel, and Contractor (RD Instruction 1940-M) http://epls.gov/	
8 RUS Bulletin 1780-28, Loan Resolution Security Agreement: Complete and execute Certification To Be Completed At Loan Closing	
9 Copy of Bank of North Dakota/Other Participating Lender Promissory Note, Real Estate Mortgage and Financing Statement/Security Agreement	
10 RD 440-22, Promissory Note	
11 UCC-1/CNS-1, Uniform Commercial Code Financing Statement	
12 RUS Bulletin 1780-12, Water or Waste System Grant Agreement	
13 Attorney's initialed copy of Closing Instructions and Certification by USDA	
14 Borrower's Attorney files Real Estate Mortgage (s) and Financing Statement/Security Agreements with Register of Deeds/Secretary of State as appropriate	
IX GRANT CLOSING PRIOR TO LOAN CLOSING LIST	
1 Review OGC Closing Instructions to ensure all stated requirements have been met	
2 SF 3881, ACH Vendor/Miscellaneous Payment Enrollment Form – check to be sure account has been set up for EFT for the first advance of funds	
3 RD 440-11, Estimate of Funds Needed for 30-Day Period Commencing	
4 Request first advance of funds 2 working days prior to scheduled closing	
5 Review Non-procurement List for Borrower, Engineer, Legal Counsel, and Contractor (RD Instruction 1940-M) http://epls.gov/	
6 RUS Bulletin 1780-12, Water or Waste System Grant Agreement	

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